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<b>TRANSMITTAL FORM</b> (to be used for all correspondence during pendency of filed application)	Application Number	10/087,408	
	Filing Date	March 1, 2002	
	First Named Inventor	Xiaodong Huang	
	Group Art Unit Number	2881	
	Examiner Name	Not Yet Known	
Total Number of Pages in This Submission	11*	Attorney Docket Number	22920-06460

**ENCLOSURES (check all that apply)**

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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Xiaodong Huang, Andreas Stintz, Kevin Malloy, Guangtian Liu,  
Luke Lester & Julian Chent

APPLICATION NO.: 10/087,408

FILING DATE: March 1, 2002

TITLE: Quantum Dot Vertical Cavity Surface Emitting Laser

EXAMINER: Not Yet Known

GROUP ART UNIT: 2881

ATTY. DKT. NO.: 22920-06460

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## INFORMATION DISCLOSURE STATEMENT

Under 37 CFR §§ 1.56 and 1.97-98

SIR:

Pursuant to the provisions of 37 CFR §§ 1.56 and 1.97-98, enclosed herewith is modified form PTO-1449 listing references for consideration by the Examiner. Enclosed is a copy of each listed reference that may be material to the examination of this application, and for which there may be a duty to disclose. The references enclosed with this Information Disclosure Statement are not cumulative.

The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

This Information Disclosure Statement is being filed:

- ☒ within three months of the filing date of the application, or date of entry into the national stage of an international application, or before the mailing date of a first office action on the merits, whichever event last occurred;

- ☐ before the mailing of a first official action after the filing of a request for continued examination (RCE) under 37 CFR § 1.114;
- ☐ after three months of the filing date of this national application or the date of entry of the national stage in an international application, or after the mailing date of the first official action on the merits, whichever event last occurred, but before the mailing date of the first to occur of either: (1) a final action under 37 CFR § 1.113; or (2) an action that otherwise closes prosecution in the application, and:
  - ☐ attached hereto is the fee set forth under 37 CFR § 1.17(p) for submission of this Information Disclosure Statement under 37 CFR § 1.97(c); OR
  - ☐ Applicant certifies pursuant to 37 CFR § 1.97(e) that:
    - ☐ each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR
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- ☐ after the payment of the issue fee. Applicant request that the information contained in this Information Disclosure Statement be placed in the file according to 37 CFR § 1.97(i), although the information may not be considered by the USPTO.
- ☐ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application No. [APPLICATION NUMBER], filed on [FILING DATE], and the references cited therein are hereby referenced, but are not required to be provided in this application under 37 CFR § 1.98(d).
- ☐ Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application, and the communication was not received by any individual designated in 37 CFR § 1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement. 37 CFR § 1.704(d).
- ☒ Applicant submits that no fee is required for the consideration of this Information Disclosure Statement.

Consideration of the listed references and favorable action are solicited.

Respectfully submitted,  
Xiaodong Huang et al.

Dated: 8/17/02

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## INFORMATION DISCLOSURE CITATION

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22920-06460

Serial No.

10/087,408

Applicant:

Xiaodong Huang et al.

Filing Date

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## U.S. PATENT DOCUMENTS

Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
	1	6,052,400	4/18/00	Nanbu et al.	372	50	3/31/98
	2	5,817,538	10/6/98	Mukai et al.	438	41	12/3/96
	3	5,614,435	3/25/97	Petroff et al.	437	110	10/27/94

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## INFORMATION DISCLOSURE CITATION

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Filing Date

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## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

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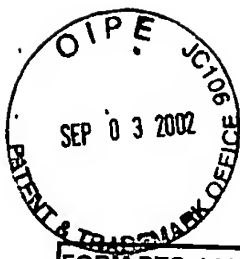
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**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)

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<b>FORM PTO-1449</b> (REV. 6-89)		<b>U.S. DEPARTMENT OF COMMERCE</b> Patent and Trademark Office		Attorney's Docket No. 22920-06460	Serial No. 10/087,408
<b>INFORMATION DISCLOSURE CITATION</b> (Use several sheets if necessary)				Applicant Xiaodong Huang et al.	
				Filing Date March 1, 2002	Group Art Unit Unassigned
<b>OTHER DOCUMENTS</b> (Including Author, Title, Date, Pertinent Pages, Etc.)					
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	<b>Applicant</b> Xiaodong Huang et al.		
	<b>Filing Date</b> March 1, 2002	<b>Group Art Unit</b> Unassigned	

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